

Master Application Handling Fee POLICY

Master Applications require a handling fee of \$15. (See RCW 19.02.) The fee is non-refundable. The fee will be collected according to application type as follows:

<u>Application Type</u>	<u>Definition</u>	<u>Collect Fee?</u>
<i>Origination</i>	Applications received for account origination.	YES
<i>Add Endorsement</i>	Applications received to add registrations or licenses to an existing business location.	YES
<i>Domestic Employers</i>	Applications received for employees hired to perform services in the employer's private home.	NO
<i>Temporary</i>	Applications received to establish a temporary Department of Revenue tax account. Usually completed by DOR staff. (See Temporary Registrations)	NO
<i>Agency Generated</i>	Applications completed by agency staff to issue a UBI or establish an account for collecting taxes. The fee should be collected with the required tax payment.	YES
<i>Trade Name</i>	Applications received to file a trade name.	YES
<i>Timber Tax Accounts</i>	Applications filed to establish an account for timber tax.	YES
<i>Open and Close</i>	Applications completed by agency staff for accounts that should have been reporting but failed to do so. These businesses no longer exist, but taxes have been collected and the agency needs a UBI account to which to credit taxes.	NO
<i>Location Addendum</i>	Addenda received with original Master Application to establish additional locations. * One fee for each Location Addendum filed.	YES*
<i>Add Endorsement at Renewal</i>	Licensee indicates on a license renewal a desire for an endorsement that requires no additional information or approval.	NO

Master Application Handling Fee PROCEDURE

1. Collect Master Application handling fee as indicated in above policy.
2. Transmit fees as outlined in Transmittal Requirements (see pages 4-14, 4-15.)

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Receipts of Payments POLICY

Cash is defined as monies received in any form:

- Currency
- Money Order
- Personal/Business Check
- Certified Check
- Cashiers Check
- Draft or Warrant
- Traveler's Check
- Checks Drawn on Foreign Banks
(must indicate that they are payable
in US funds)

When a business entity makes payment, the UBI field office staff person will issue a receipt. The payment is to be protected by use of a register, safe, or lock, and kept in a limited access area. The UBI field office staff person is to convert currency to a cashiers check or money order prior to transmittal.

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Receipts of Payments PROCEDURE

All payments which contain UBI funds will be transmitted to DOL. Other payments will be transmitted to the proper agency (see Payment for Non-UBI Transactions, pages 4-16, 4-17). All payments must be transmitted within 24 hours or one working day.

Participating agencies will complete a receipt uniformly.

Exceptions:

Payments received by check, money order, draft, or warrant do not require a receipt unless requested.

The instructions below refer specifically to the UBI Cash Receipt. If you do not use the UBI Cash Receipt book, make sure to include all of the information listed below on the cash receipt used by your agency.

1. **Name of Payor:** Enter the name of the applicant or applicant's representative.
2. **Date**
3. **Name of Business Entity:** Enter the proprietor, partnership, or corporation name, *not the DBA*.
4. **Business Mailing Address**
5. **City, State, and Zip Code**
6. **Agency Name:** Enter the name of the receiving agency.
7. **Agency Location:** Enter the name of the issuing field/central office location, e.g. Vancouver.
8. **Unified Business Identifier Number:** Enter the Unified Business Identifier as assigned or identified.
9. **Cash:** Enter the amount or portion of payment received by cash only.
10. **Check:** Enter the amount or portion of payment received by check only.

- 11. Money Order:** Enter the amount or portion of payment received by money order only.
- 12. Total Amount Received:** Enter the total of all payments received.
- 13. Check Number:** Enter the check number, if a check was received.
- 14. Money Order Number:** Enter the money order number, if a money order was received.
- 15. Remarks:** If other agency documents and funds were received, note which documents and which agencies.
- 16. Issued By:** The issuing employee signs (legibly) the receipt attesting to accuracy, completeness, and that the correct amount of money was received. The issuing employee's phone number is to be included with his/her signature.

Distribution:

White copy is given to the business person.

Yellow copy and pink copy are left in the UBI receipt book. (**Note:** When present inventory of UBI Receipt Books are used up, new receipt books will be issued. The new UBI Receipt Books will no longer include the yellow copy.)

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Employment Security Transmittal Process Including Cash Handling

Per Employment Security Department's UI Tax Branch Memo 1-01 on Cash Handling Policies and Procedures:

4.2 Cash Receipts Received in Central Office Status/UIRX Unit and District Tax Offices for Master Application Fees that are Mailed Directly to the Department of Licensing.

A designated person opens the mail and restrictively endorse (in black ink) any checks and/or money orders received with the endorsement stamp from the Department of Licensing. This person immediately routes the application and check to another designated person to log the check in the cash log/transmittal. The applications and checks are locked in a filing cabinet. At the end of the day the transmittal is completed and the applications and checks are mailed to the Department of Licensing for processing.

L & I Transmittal Process Including Cash Handling

Labor and Industries' Administrative Cash Handling Policies and Procedures are available on the Intranet. **See:** L&I Administrative Policies 4.01, 4.02, 4.03, 4.04, 4.06 and 4.07. Brief descriptions follow:

POLICY 4.01 - Responsibility for Change in Cash Management Procedures

GENERAL TOPIC: Budget and Fiscal Management

ISSUED: August 7, 1995 (supersedes policy dated 3/1/94)

CONTACT: Program Manager for Management Services

PURPOSE AND DESCRIPTION: This policy identifies responsibilities within the Department for revising cash-management procedures.

POLICY 4.02 - Cash Control

GENERAL TOPIC: Budget and Fiscal Management

ISSUED: August 29, 2000 (supersedes policy dated 2/18/99)

CONTACT: Program Manager for Financial Services

SEE ALSO: AP2.20; AP4.03; AP4.04; AP4.06, AP4.07; AP4.10

PURPOSE AND DESCRIPTION:

This policy defines requirements for safeguarding the Department's liquid assets including currency, coins, checks, money orders, etc., which are payable to the state of Washington, Department of Labor and Industries, or the State Treasurer.

POLICY 4.03 - Opening the Mail

GENERAL TOPIC: Budget and Fiscal Management

ISSUED: September 15, 1997 (supersedes policy dated 8/1/97)

CONTACT: Assistant Director for Administrative Services

SEE ALSO: AP2.20, AP4.04, AP4.06, AP4.07; AP4.10 ; Procedures

PURPOSE AND DESCRIPTION

This policy defines requirements for safeguarding the Department's liquid assets including currency, coins, checks, money orders, etc., which are payable to the state of Washington, to the Department of Labor and Industries, or to the State Treasurer.

POLICY 4.04 - Cash Receipts and Cash Receipt Book

GENERAL TOPIC: Budget and Fiscal Management

ISSUED: March 12, 1997 (supersedes policy dated 8/7/95)

CONTACT: Program Manager for Management Services

SEE ALSO: Procedures

PURPOSE AND DESCRIPTION

This policy explains the guidelines for issuing and controlling cash receipts and cash receipt books.

POLICY 4.06 - Deposit Requirements and Processing NSF Checks

GENERAL TOPIC: Cash Management

ISSUED: March 2, 1998 (supersedes policy dated 12/22/95)

CONTACT: Program Manager for Management Services

SEE ALSO: When depositing collected monies; When industrial insurance payments are made by check with quarterly report or payment-on-account (POA) in field service locations; Upon notification of an NSF check

PURPOSE AND DESCRIPTION

This policy explains the guidelines for depositing monies received in field service locations, documenting and reconciling daily deposits of funds, and handling non-sufficient funds (NSF) checks.

POLICY 4.07 – Electrical Permits & Inspections/Revenue Reporting System (EPIRRS).

GENERAL TOPIC: Budget and Fiscal Management

ISSUED: July 06, 2001 (supersedes policy dated 12/22/95).

CONTACT: Program Manager for Management Services

SEE ALSO: Procedures

PURPOSE AND DESCRIPTION

This policy explains the guidelines for Fiscal Mods reports and includes procedures for deleting or reversing Fiscal Mods entries. (Note: This policy does not apply to Industrial Insurance premiums.)

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Department of Licensing's Cash Handling section is pending. When an update of DOL Cash Handling is received, insert it here.

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Department of Revenue Transmittal Process Including Cash Handling

Each Department of Revenue field office is connected through a computer to the Revenue Receipting System. All cash and checks are processed using this receipting system. Please refer to your receipting system's training guide.

UBI payments such as money and checks for master applications or renewable licenses are logged into the receipting system as UBI receipts. When the Daily Cash Out is done, a UBI transmittal is created and all UBI payments and documents are sent with the transmittal to the Department of Licensing, attn: Revenue Accounting, Olympia, WA 98507-9034

PLEASE NOTE that cash cannot be sent to DOL. Any cash received must be taken to the field office's bank and converted into a cashiers check before sending to DOL.

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Secretary of State Transmittal Process Including Cash Handling

Journal Voucher Distribution (JVD) function of money to Department of Licensing (DOL) (24 hour turnaround time):

1. When a Master Application (MA), License Renewal or Reinstatement of a Profit Corporation is received by the Secretary of State Corporations Division it is validated in CC Revenue (the Secretary of State Corporations Division's revenue accounting database) and sourced as a JVD transaction.
 - The license renewal fee for a JVD transaction is \$9.00.
 - The reinstatement fee for a JVD transaction is \$9.00
 - The MA fee varies but is usually greater than \$15.00.
2. License renewals are updated in the Master License Service (MLS) database when money is received.
3. When validations are sourced to the JVD transaction code, mark them as:
 - M = MBA,
 - R = Reinstatement, or
 - L = License Renewal, and
 - Enter the UBI number.
4. The morning following the sourcing process the DOL Transfer Report is created in CC Revenue. When the DOL Transfer Report is created, both a paper report and a data file are generated:
 - The data file is "FTP'd" (file transfer protocol) to the MLS database.
 - The paper report is matched to the MA documents and the License Renewal documents, and forwarded to Linda Allen at DOL.
5. A duplicate report is created the same day by the Fiscal section and the money is electronically sent to DOL.

Transmittal Requirements POLICY

Central/field offices must forward all Master Applications with or without fees on a transmittal form to the Department of Licensing within 24 hours or one working day of receipt. Even though each agency is unique, all transmittals must have the following information.

Cash must be converted into cashiers checks or money orders.

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Transmittal Requirements PROCEDURE

A transmittal form will be prepared each working day as follows:

1. **List** all documents **with** payments. Include:

UBI number	Owner name	Receipt /check number	Amount	Payment type	Comments <i>Write "Mail" if documents were received in the mail.</i>

2. **List** all documents **without** payments. Include:

UBI number	Owner name	Amount Enter "zero"	Comments <i>Write "Mail" if documents were received in the mail.</i>

3. **Total** the fees. **Enter** the total at bottom.
4. **Review** transmittal form for errors, and **sign**.
5. **Prepare** documents for mailing as follows:
 - 5a. *Batch One:* Master Applications and documents paid totally or partially in cash. Attach cashiers check to the top.
 - 5b. *Batch Two:* All other documents paid. Ensure each Master Application or document has the appropriate check or money order attached.
 - 5c. *Batch Three:* All documents without payments.
6. Make and keep a copy of the transmittal form for your files.

Attach all document batches to the white copy of the transmittal form and forward to the Master License Service.

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Payment for Non-UBI Transactions POLICY

To accommodate the needs of business people, central and field offices will accept payments for non-UBI transactions (e.g. L&I premium payments). Such payments must be accompanied by the appropriate documents.

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Payment for Non-UBI Transactions PROCEDURE

The business person should be encouraged to write separate checks for non-UBI payments. Mail the payment directly to the appropriate agency. Use campus mail if possible.

If one check is received for multiple transactions, all payments will be handled according to the UBI Receipts and Transmittals policy and procedure.

Note: Addresses with five-digit PO Boxes are state PO Boxes and have a zip code of 98504. Four-digit PO Boxes are boxes at the downtown Olympia Post Office and have a zip code of 98507.

Campus Mail

Secretary of State
Corporations Division
M/S 0234

Employment Security Department
Employer Accounts
UI Tax Administration
M/S 6000

Department of Revenue
Customer Account Services
M/S 7476

Department of Labor & Industries
Employer Services
M/S 4835

Department of Licensing
Master License Service
M/S 8001

U.S. Mail

Secretary of State
Corporations Division
PO Box 40234
Olympia, WA 98504-0234

Employment Security Department
Employer Accounts
UI Tax Administration
PO Box 46000
Olympia, WA 98504-6000

Department of Revenue
Customer Account Services
PO Box 47476
Olympia, WA 98504-7476

Department of Labor & Industries
Employer Services
PO Box 44140
Olympia, WA 98504-4140

Department of Licensing
Master License Service
PO Box 9034
Olympia, WA 98507-9043

Dishonored Checks POLICY

The Department of Licensing will make one collection attempt on dishonored checks received through the UBI process.

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Dishonored Checks PROCEDURE

1. A notice is sent to the check writer, with copies to the concerned agencies.
2. Payment must be made within fifteen days and must include NSF check charges.
3. If payment is received on time, the concerned agencies will be notified and no further action is necessary.
4. If payment is not received, the following actions occur:
 - 4a. Licensee is requested to return their Registrations and Licenses document (Master License).
 - 4b. Concerned agencies are notified of the licensee's failure to comply with the payment request and proceed according to their regulations.
 - 4c. Department of Licensing reverses payments made to concerned agencies.

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